

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln No.:	09/784,158	)	<b>Confirmation No. 1544</b>
		)	
Filed:	February 16, 2001	)	
		)	
Applicants:	Stephan W. WEGERICH et al.	)	This document was electronically filed on April 3, 2007 using the U.S. Patent and Trademark Office's EFS Web
Title:	SYSTEM FOR EXTRACTION OF	)	
	REPRESENTATIVE DATA FOR	)	
	TRAINING OF ADAPTIVE	)	
	PROCESS MONITORING	)	
	EQUIPMENT	)	
		)	
Art Unit:	2123	)	
		)	
Examiner:	Mary C. Hogan	)	
		)	
		)	
Attorney Docket:	7060/70479	)	
	(086470-9013)	)	

Customer No.: 22242

**PETITION UNDER 37 C.F.R. § 1.137(a) TO REVIVE  
AN UNINTENTIONALLY ABANDONED APPLICATION**

Mail Stop PETITION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Applicants hereby petition the Commissioner to revive the above-identified patent application ("the application"). The application was abandoned on January 17, 2007 for failure to respond to the Office Action dated January 18, 2006 (Exhibit A hereto). As explained in further detail below, Applicants respectfully submit that the entire delay in filing the required response from the due date to date of this petition was unavoidable and caused

by the Patent Office as described under MPEP 711.03 (c). A response (Amendment C) to the Office Action was filed contemporaneously with this petition.

More specifically, the original power of attorney for the application was to Customer Number 22242. On July 7, 2003, the assignee of the entire right, title and interest in and to the application, SmartSignal Corporation, revoked this original power of attorney and appointed: Perry J. Hoffman of Michael Best & Friedrich LLC, 401 N. Michigan Ave, Suite 1900, Chicago, Illinois 60611 as its counsel for the application. A copy of this revocation and appointment is attached hereto as Exhibit B. Then, on May 31, 2005, SmartSignal revoked this power of attorney to Mr. Hoffman and again appointed the practitioners associated with Customer Number 22242 as its counsel. Indeed, the undersigned signed and submitted the Statement Under 37 CFR 3.73(b) along with the revocation and appointment. A copy of this revocation and appointment is attached hereto as Exhibit C.

The practitioners associated with Customer Number 22242 did not receive a copy of the Office Action from the Patent Office. A copy of our docket record, where the non-received Office Action would have been entered had it been received and docketed, is attached hereto as Exhibit D. It appears that the attorney of record was not changed at the Patent Office. Indeed, the Office Action (Exhibit A) was addressed to Mr. Hoffman at Michael Best & Friedrich. We first learned of the Office Action on March 27, 2007 from a periodic review on public PAIR. For the foregoing reasons, Applicants respectfully submit

that the abandonment is the fault of the Patent Office and the delay for response to the outstanding office action was unavoidable.

In the event the Patent Office decides that the abandonment was not unavoidable, Applicants' hereby alternatively petition for revival on the basis that the abandonment was unintentional. Applicants hereby authorize the Commissioner to charge Deposit Account No. 06-1135 any amount necessary for the petition, including, if necessary, the amount of \$1,500 to revive for an unintentional abandonment. The Commissioner is hereby authorized to charge any additional fees which may be required in connection with this petition to Deposit Account No. 06-1135. Applicants also respectfully request waiver or a refund of any petition fee due to the abandonment not being the fault of the applicants.

Respectfully submitted,

Date: April 3, 2007

By: Mark W. Hetzler

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Registration No. 38,183

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HAJ



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/784,158	02/16/2001	Stephan W. Wegerich	086470/9013	1544

7590 01/18/2006  
PERRY J. HOFFMAN, ESQ.  
MICHAEL BEST & FRIEDRICH LLC  
401 NORTH MICHIGAN AVE  
SUITE 1900  
CHICAGO, IL 60611

EXAMINER

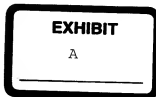
GULL, RUSSELL L

ART UNIT PAPER NUMBER

2123

DATE MAILED: 01/18/2006

Please find below and/or attached an Office communication concerning this application or proceeding.



### Office Action Summary

Application No.

09/784,158

Applicant(s)

WEGERICHT ET AL.

Examiner

Russell L. Guill

Art Unit

2123

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 05 December 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1 - 21, 25 - 28, 31 - 37 and 50 - 51 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 1 - 7, 13 - 21 and 25 is/are allowed.
- 6) ☒ Claim(s) 8 - 12, 26 - 28, 31 - 37 and 50 - 51 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 16 February 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of.
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

#### DETAILED ACTION

1. This Office Action is in response to an amendment filed on December 5, 2005. Claims 1, 8, 31 - 34 and 36 - 37 were amended. Claims 22 - 24, 29 - 30 and 38 - 49 were cancelled. No new claims were added. Claims 1 - 21, 25 - 28, 31 - 37 and 50 - 51 are pending. Claims 1 - 21, 25 - 28, 31 - 37 and 50 - 51 have been examined. Claims 1 - 7, 13 - 21 and 25 are allowable. Claims 8 - 12, 26 - 28, 31 - 37 and 50 - 51 are rejected.

#### *Response to Arguments*

2. As an initial matter, the Examiner would like to respectfully thank the Applicant for the well-prepared response, which was useful in the examination process.
3. Regarding claims 1, 8 and 13 rejected under 35 USC § 101:
- Applicant's arguments have been fully considered and are persuasive. The rejection of the claims has been withdrawn.
4. Regarding claims 1, 8, 13, 26 and 32 rejected under 35 USC § 103:
- Applicant's arguments have been fully considered and are persuasive. The rejection of the claims has been withdrawn.

#### *Drawings*

5. The drawings are objected to because figure 7 contains entirely handwritten numbers. Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure is to be canceled, the appropriate figure must be removed from the

replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

*Claim Rejections - 35 USC § 112*

6. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

a. **Claims 8 - 12, 26 - 28, 31 - 37 and 50 - 51** are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

i. **Regarding claim 8**, the claim recites, "a training module disposed to distill characteristic operational data." It is unclear whether this phrase is an intended use or a claim limitation. The Examiner suggests the language, "a training module to distill characteristic operational data."

ii. **Regarding claim 8**, the claim recites, "and for training an empirical model of said empirical modeling module." It is unclear whether this phrase is an intended use or a claim limitation. The Examiner suggests

the language, "and to train an empirical model of said empirical modeling module."

iii. **Regarding claim 26**, the preamble of the claim recites, "A system for monitoring activity of another system." However, the end result of the claim appears to be a set of training vectors. It is unclear whether a step is missing from the claim.

iv. **Regarding claim 26**, the claim recites, "said selected vector being a system snapshot provided for initial inclusion in a training set." It is unclear whether this phrase is an intended use or a claim limitation. The Examiner suggests the language, "said selected vector being a system snapshot to initially include in a training set."

v. **Regarding claim 32**, the claim recites, "a process for selecting at least one vector from each of the equally spaced ranges for training the adaptive model." It is unclear whether this phrase is an intended use or a claim limitation. The Examiner suggests the language, "a process for selecting at least one vector from each of the equally spaced ranges to train the adaptive model."

*Allowable Subject Matter*

7. **Claims 1 - 7, 13 - 21 and 25** are allowable.
8. **Claims 8 - 12, 26 - 28, 31 - 37 and 50 - 51** would be allowable if rewritten or amended to overcome the rejection(s) under 35 U.S.C. 112, 2nd paragraph, set forth in this Office action.



9. The following is a statement of reasons for the indication of allowable subject matter:
- a. **Regarding claims 1 - 7:** While Black, Freund, Klimasaukas and Passera teach a method of selecting input vectors for extraction of representative data for training of an adaptive model, none of these references taken either alone or in combination with the prior art of record teach the aforementioned method of selecting input vectors specifically including: ordering a set of training vectors according to a corresponding value in each vector of a particular sensor; dividing the set of training vectors according to equally spaced ranges according to the ordering;; and selecting at least one vector from each of the equally spaced ranges for training the adaptive model, in combination with the remaining elements and features of the claimed invention.
  - b. **Regarding claims 8 - 12:** While Black, Freund, Klimasaukas and Passera teach an adaptive apparatus for monitoring a system instrumented with sensors, none of these references taken either alone or in combination with the prior art of record teach the aforementioned adaptive apparatus for monitoring a system instrumented with sensors, specifically including: an empirical modeling module responsive to the data acquisition means for providing indications about the operational states of the system; a training module disposed to distill characteristic operational sensor data acquired from the system to a representative set of sensor data for storing in the data store and for training an empirical model of said empirical modeling module, by selecting from the characteristic operational sensor data time-correlated observations representative of regularly spaced intervals along an ordering of the observations according to

values in the observations of a particular sensor, in combination with the remaining elements and features of the claimed invention.

c. **Regarding claims 13 - 21 and 25:** While Black, Freund, Klimasaukas and Passera teach a method of selecting a set of training vectors representative of a system, none of these references taken either alone or in combination with the prior art of record teach the aforementioned method of selecting a set of training vectors representative of a system specifically including: selecting a system parameter of a system; ordering a plurality of system vectors according to said selected parameter; binning said plurality of vectors according to said ordering of said selected parameter; selecting a vector from each bin; and selected said vectors forming a training set, in combination with the remaining elements and features of the claimed invention.

d. **Regarding claims 26 - 28 and 31:** While Black, Freund, Klimasaukas and Passera teach a system for monitoring activity of another system, none of these references taken either alone or in combination with the prior art of record teach the aforementioned system for monitoring activity of another system, specifically including: a control unit controlling a monitored system; a data acquisition unit receiving information from said control unit and from said monitored system and providing system snapshots therefrom, system snapshots representing the state of said monitored system relative to the time the snapshot is taken; a memory storing said system snapshots; a sorter sorting collected system snapshots responsive to a selected system parameter; and a vector selector binning sorted snapshots and selecting a vector from each bin and, said selected

vector being a system snapshot provided for initial inclusion in a training set, in combination with the remaining elements and features of the claimed invention.

e. **Regarding claims 32 - 37 and 50 - 51:** While Black, Freund, Klimasaukas and Passera teach a computer program product for selecting input vectors for extraction of representative data for training of an adaptive model, none of these references taken either alone or in combination with the prior art of record teach the aforementioned computer program product for selecting input vectors for extraction of representative data for training of an adaptive model, specifically including: a process for receiving signals as input from a plurality of sensors as a set of training vectors; a process for ordering the set of training vectors according to a corresponding value in each vector of a particular sensor; a process for dividing the set of training vectors according to equally spaced ranges according to the ordering; and a process for selecting at least one vector from each of the equally spaced ranges for training the adaptive model, in combination with the remaining elements and features of the claimed invention.

### *Conclusion*

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Russell L. Guill whose telephone number is 571-272-7955. The examiner can normally be reached on Monday - Friday 10:00 AM - 6:30 PM.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Leo Picard can be reached on 571-272-3749. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Any

inquiry of a general nature or relating to the status of this application should be directed to the TC2100 Group Receptionist: 571-272-2100.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Russ Guill  
Examiner  
Art Unit 2123

RG

  
Paul P. Rodriguez 1/12/06  
Primary Examiner  
Art Unit 2125



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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/784,158	02/16/2001	Stephan W. Wegerich	086470/9013

PERRY J. HOFFMAN, ESQ.  
MICHAEL BEST & FRIEDRICH LLC  
401 NORTH MICHIGAN AVE  
SUITE 1900  
CHICAGO, IL 60611

CONFIRMATION NO. 1544



\*OC000000011539086\*

Date Mailed: 12/19/2003

## NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 07/07/2003.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

JESSICA T GAYNOR  
2100 (703) 306-4141

ATTORNEY/APPLICANT COPY

EXHIBIT

B



PTQ/58/96 (04-05)

Approved for use through 11/30/2005. OMB 0551-0035  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:



Practitioners associated with the Customer Number:

22242

OR



Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:



The address associated with Customer Number:

OR

Firm or  
Individual Name

Address

City

State

Zip

Country

Telephone

Email

Assignee Name and Address:

SmartSignal Corporation  
901 Warrenville Road  
Lisle, Illinois 60532

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTQ/58/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature

*J. R. Gagnard*

Date

5.11.05

Name

James Gagnard

Telephone

680.829.4007

Title

President and CEO

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 422 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**EXHIBIT**

C



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IFW



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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Stephan W. Wegerich et al.Application No./Patent No.: 09/784,158 Filed/Issue Date: February 16, 2001Entitled: **SYSTEM FOR EXTRACTION OF REPRESENTATIVE DATA FOR  
TRAINING OF ADAPTIVE PROCESS MONITORING EQUIPMENT**SmartSignal Corporation, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 012655, Frame 0536, or for which a copy thereof is attached.

OR

- B ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Mark W. Hetzler

Signature

May 26, 2005

Date

Mark W. Hetzler

Printed or Typed Name

312.577.7000

Telephone Number

Reg. No. 38,183

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FITCH, EVEN ET AL  
PERRY J. HOFFMAN  
120 SOUTH LASELLE STREET  
SUITE 1600  
CHICAGO, IL 60603-3406



\*102013152A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/21/2002

REEL/FRAME: 012655/0536  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WEGERIC, STEPHAN W.

DOC DATE: 01/11/2002

ASSIGNOR:

WILKS, ALAN D.

DOC DATE: 01/11/2002

ASSIGNOR:

WOLOSEWICZ, ANDRE

DOC DATE: 01/11/2002

ASSIGNEE:

SMARTSIGNAL CORPORATION  
4200 COMMERCE COURT  
SUITE 102  
LISLE, ILLINOIS 60532

SERIAL NUMBER: 09784158

PATENT NUMBER:

FILING DATE: 02/16/2001  
ISSUE DATE:

1202



012655/0536 PAGE 2

STEVEN POST, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

REC

03-13-2002



102013152

3 SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket No. 70479

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Stephan W. Wegerich  
Alan D. Wilks  
Andre Wolosewicz



Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: January 11, 2002

2. Name and address of receiving party(ies)

Name: SmartSignal Corporation

Internal Address: \_\_\_\_\_

Street Address: 4200 Commerce Court, Suite 102

City: Lisle State: IL ZIP: 60532

Additional name(s) and address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/784,158

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

OFFICE OF PUBLIC RECORDS  
FEB 21 AM 9:11  
FINANCE SECTION

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Perry J. Hoffman  
FITCH, EVEN, TABIN & FLANNERY

Internal Address: \_\_\_\_\_

Street Address: Suite 1600

120 South LaSalle Street

City: Chicago State: IL ZIP: 60603-3406

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit Account Number:

06-1135

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DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Perry J. Hoffman  
Name of Person Signing

37.150  
Registration No.

Perry J. Hoffman  
Signature

February 6, 2002  
Date

Total number of pages including cover sheet, attachments, and document: 3

ASSIGNMENT

We, STEPHAN W. WEGERICH, of Glendale Heights, County of DuPage and State of Illinois, ALAN D. WILKS, of Mount Prospect, County of Cook and State of Illinois, and ANDRE WOLOSEWICZ, of Woodridge, County of DuPage and State of Illinois, for good and valuable consideration, have assigned and do hereby assign to SMARTSIGNAL CORPORATION, a Delaware corporation, with its principal place of business at 4200 Commerce Court, Suite 102, Lisle, Illinois 60532, its successors, assigns and legal representatives, the entire right, title and interest in and to all subject matter invented by us and disclosed in the application for a United States Patent entitled

SYSTEM FOR EXTRACTION OF REPRESENTATIVE DATA  
FOR TRAINING OF ADAPTIVE PROCESS MONITORING EQUIPMENT

U.S. Application Number 09/784, 158, filed February 16, 2001; and in and to all Patent and all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter. We agree to sign all documents necessary to secure all said patents and rights, and request issuance of all said patents to the above assignee in accordance with this assignment.

1/11, 2001

Stephan W. Wegerich  
Stephan W. Wegerich

1/11, 2001

Alan D. Wilks  
Alan D. Wilks

1/11, 2001

Andre Wolosewicz  
Andre Wolosewicz

State of ILLINOIS     )  
                                      ) SS  
County of DUPAGE     )

I hereby certify that before me in the County of DuPage, in the State of Illinois, personally appeared STEPHAN W. WEGERICH, personally known by me, who then and there was duly sworn by me, and under oath acknowledged that the foregoing assignment was duly signed, sealed, and delivered by him on the date appearing at the foot thereof.

January 11, 2001/2

Stephan  
Notary Public  
My Commission Expires:  
September, 2005

State of ILLINOIS     )  
                                      ) SS  
County of DUPAGE     )

I hereby certify that before me in the County of DuPage, in the State of Illinois, personally appeared ALAN D. WILKS, personally known by me, who then and there was duly sworn by me, and under oath acknowledged that the foregoing assignment was duly signed, sealed, and delivered by him on the date appearing at the foot thereof.

January 11, 2001/2

Stephan  
Notary Public  
My Commission Expires:  
September, 2005

State of ILLINOIS     )  
                                      ) SS  
County of DUPAGE     )

I hereby certify that before me in the County of DuPage, in the State of Illinois, personally appeared ANDRE WOLOSEWICZ, personally known by me, who then and there was duly sworn by me, and under oath acknowledged that the foregoing assignment was duly signed, sealed, and delivered by him on the date appearing at the foot thereof.

January 11, 2001/2

Stephan  
Notary Public  
My Commission Expires:  
September, 2005

## DOCKET

DATE	ITEM	RESPONSE DUE
2/16/01	Sent to PTO w/ Ben Ext. of Time IDS + Draw	5/16/01
4/16/01	Notice of Missing Parts	6/2/01
5/30/01	Response	
6/30/01	Received up-dated Filing Receipt	
6/29/01	Request Con Filing Receipt	
9-20-01	FILED IDS.	
12/4/01	Filed Supp IDS	
2/6/02	Filed Assign -	
2/8/02	per RTHS no foreign filing	
4/8/02	notice of new or revised projected pub. date	
12/1/04	Re-entered Fed/ Scket	
7/2/03	Prosecution and substitute Power	
5/19/04	Statute signing	
7/30/04	Rejection	10/30/04
1/08/05	Talk to draftsperson	
1/31/05	Amendment	
5/26/05	Filed Statement / POA	
6/2/05	Rejection	9/2/05
12/2/05	Amendment B	

**EXHIBIT**

D

## Country Application

Tuesday, April 03, 2007

Page: 1

<b>Client-Matter:</b> 7060-70479	<b>Country:</b> US	<b>SubCase:</b>
<b>Client:</b> SMART SIGNAL CORPORATION	United States of America	
<b>Case Type:</b> ORD	<b>Application Status:</b> Pending	
<b>Application Number:</b> 09/784,158	<b>Filing Date:</b> 16-Feb-2001	
<b>Publication Number:</b>	<b>Publication Date:</b>	
<b>Patent Number:</b>	<b>Issue Date:</b>	
<b>Parent/PCT Number:</b>	<b>Parent/PCT Date :</b>	
<b>Parent Issue Number:</b>	<b>Parent Issue Date :</b>	
<b>Tax Schedule:</b> LE	<b>Expiration Date:</b>	
<b>Confirmation #:</b> 1544	<b>Patent Term Adjustment:</b> 0	
<b>Agent:</b>	<b>Agent Reference #:</b>	

### Family Reference:

**Remarks:** 2/16/01 SENT TO PTO WITH GENERAL EXTENSION OF TIME  
4/5/01 RECEIVED FILING RECEIPT  
6/25/01 RECEIVED UPDATED FILING RECEIPT  
6/29/01 REQUEST CORRECTED FILING RECEIPT  
12/4/01 FILED SUPPLEMENTAL IOS  
2/6/02 FILED ASSIGNMENT  
2/8/02 CLIENT DOES NOT DESIRE FOREIGN APPLICATIONS  
4/8/02 NOTICE OF NEW OR REVISED PROJECTED PUBLICATION DATE  
2/21/02 ASSIGNMENT RECORDED SMARTSIGNAL CORPORATION REEL  
012655 FRAME 0536  
7/4/02 NOTICE OF PUBLICATION OF APPLICATION  
7/14/02 TRANSFERRED TO PERRY HOFFMAN AT MICHAEL, BEST &  
FRIEDRICH  
12/19/03 REVOCATION OF POWER  
12/1/04 RE-ENTERED FETF DOCKET  
7/2/03 REVOCATION AND SUSTITUTE POWER  
5/19/04 STATUS INQUIRY  
1/18/05 LETTER TO DRAFTSPERSON  
1/31/05 LETTER TO DRAFTSPERSON REQUESTING APPROVAL ON  
DRAWING CHANGES

From Conversion Priority Number: 60/187,959

From Conversion Priority Date: 3/9/2000

5/26/05 FILED STATEMENT/ POWER OF ATTORNEY

## Country Application

Tuesday, April 03, 2007

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### List Of Actions

Action(s) Due	Due Date		Action Taken
Information Disclosure Stmtnt	16-May-2001	Due Date	20-Sep-2001
Response Due	02-Jun-2001	Due Date	30-May-2001
6 Month Final	30-Jan-2005	Final	31-Jan-2005
6 Month Final	02-Dec-2005	Final	02-Dec-2005
US-FOLLOW UP	02-Apr-2006	Reminder	

User ID: pjones

Date Created: 22-Mar-2001

Last Update: 03-Jun-2005